



DEPARTMENT OF THE NAVY

OFFICE OF THE SECRETARY

WASHINGTON, D.C. 20350-1000

SECNAVINST 5400.15A

(ASN) (RD&A)

26 May 1995

SECNAV INSTRUCTION 5400.15A

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY RESEARCH, DEVELOPMENT AND
ACQUISITION, AND ASSOCIATED LIFE CYCLE MANAGEMENT
RESPONSIBILITIES

Ref: (a) U.S. Code, Title 10
(b) SECNAVNOTE 5430 of 12 Mar 90 (NOTAL)
(c) JCS Pub 1 of 11 Nov 91
(d) DOD Directive 5000.1 of 23 Feb 91 (NOTAL)
(e) DOD Instruction 5000.2 of 23 Feb 91 (NOTAL)
(f) DOD Manual 5000.2-M of 23 Feb 91 (NOTAL)

Encl: (1) COMNAVAIRSYSCOM Unique Responsibilities
(2) COMNAVSEASYSYSCOM Unique Responsibilities
(3) COMSPAWARSYSYSCOM Unique Responsibilities
(4) COMMARCORSYSYSCOM Unique Responsibilities
(5) CNO and CMC Logistics Responsibilities

1. Purpose

a. To reissue previously established duties and responsibilities of the Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)).

b. To describe the relationships between ASN(RD&A), Program Executive Officers and Direct Reporting Program Managers, the Chief of Naval Operations (CNO) and the Commandant of the Marine Corps (CMC) for research, development and acquisition and associated life cycle management responsibilities.

c. To assign responsibilities to the commands listed below:

(1) Commander, Naval Air Systems Command
(COMNAVAIRSYSCOM),

(2) Commander, Naval Sea Systems Command
(COMNAVSEASYSYSCOM),

(3) Commander, Space and Naval Warfare Systems Command
(COMSPAWARSYSYSCOM), and

(4) Commander, Marine Corps Systems Command
(COMMARCORSYSYSCOM).



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2. Cancellation. SECNAVINST 5400.15.

3. Applicability and Scope. The responsibilities assigned by this instruction apply to research, development and acquisition and associated life cycle management within the U.S. Navy and U.S. Marine Corps. The assigned responsibilities are in support of functions assigned to the Secretary of the Navy by reference (a).

4. Background

a. Reference (a) requires the Secretary of the Navy (SECNAV) to designate a single office or other entity within the Office of SECNAV to conduct the acquisition function. No other office or other entity may be established or designated within the Office of the CNO or the Headquarters, Marine Corps, to conduct this function. Additionally, the Office of SECNAV shall have sole responsibility within the Department of the Navy (DON) for research and development. SECNAV may assign to the Office of the CNO and the Headquarters, Marine Corps, responsibility for those aspects of the function of research and development relating to military requirements and operational test and evaluation.

b. The Secretary of Defense has required that the Secretaries of the Military Departments designate a single civilian official, at the Assistant Secretary-level within each Military Department, as the Service Acquisition Executive (SAE) with full-time responsibility for all Service acquisition functions. As designated in reference (b), ASN(RD&A) is the Navy Acquisition Executive (NAE). The NAE has full responsibility for all acquisition programs through Program Executive Officers (PEOs), Direct Reporting Program Managers (DRPMs), or Systems Commanders (SYSCOMs). The PEOs and DRPMs devote full time attention to managing their assigned programs and related technical support resources. The SYSCOM Commanders have three roles: managing programs other than those assigned to the PEO or DRPM structure; providing for in service support; and providing support services to PEOs and DRPMs without duplicating their management functions.

c. CNO and CMC, under reference (a), are responsible for determining requirements and establishing the relative priority of those requirements (consistent with the authority vested in the Joint Requirements Oversight Council (JROC)), and for operational test and evaluation. The ASN(RD&A) is responsible for the development and/or procurement of systems satisfying those requirements as efficiently and economically as possible. The ASN(RD&A) is responsible for ensuring that operational requirements are properly transformed, within allocated

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resources, into executable research, development and acquisition programs. CNO and CMC will execute their responsibilities through the resource allocation process and their input to the acquisition decision making process.

d. Definitions:

(1) Acquisition Program: a directed, funded effort that is designed to provide a new or improved materiel capability in response to a validated need.

(2) Department of Defense Acquisition System: A single uniform system whereby all equipment, facilities, and services are planned, designed, developed, acquired, maintained, and disposed of within the Department of Defense. The system encompasses establishing and enforcing policies and practices that govern acquisitions, to include documenting mission needs and establishing performance goals and baselines; determining and prioritizing resource requirements for acquisition programs; planning and executing acquisition programs; developing and assessing logistics implications; contracting; monitoring the execution status of approved programs; and reporting to Congress.

(3) In Service Support: management and technical support provided between delivery to operational forces and final disposal. This includes maintenance, system engineering, technical support, configuration management, test and evaluation, and all aspects of integrated logistics support.

(4) Life Cycle Management: management responsibility for a program that encompasses the acquisition program, in service support, and final disposal.

(5) Platform: ships, aircraft, and principal items of such importance that management techniques require centralized, individual item management as further defined in reference (c).

(6) Integrated Platform Management Team: a multi-disciplinary, Program Manager-led group responsible for all aspects of a weapon system platform from concept to disposal. The team's composition will depend upon phase of development and may be composed of representatives from areas such as: product managers; SYSCOM functional experts; relevant field activities and industry; and consistent representation from fleet customers, resource sponsors, training, personnel, and operational testing and evaluation communities.

5. Responsibilities. The DON life cycle management organization will have clear lines of communication, authority,

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accountability, and responsibility, and will be responsive to fleet needs. This life cycle management organization will employ multidisciplinary teams that will manage and integrate critical processes ensuring that products optimize performance and long term cost tradeoffs across all equipments, platforms, and organizational subelements.

a. The ASN(RD&A) shall:

(1) Serve as the NAE with responsibility for supervising the performance of the Department of Defense Acquisition System within the Navy, and representing the DON before the Under Secretary of Defense for Acquisition and Technology and Congress on all matters related to acquisition policy and programs.

(2) Serve as the Navy Senior Procurement Executive and perform the functions of that position as established by law, executive order or regulation.

(3) Establish policy and procedures and be responsible for all research, development and acquisition.

(4) Manage the acquisition management structure and process in a manner that is consistent with, and supportive of, the requirements, policies and provisions of references (a), (d), (e) and (f) and other applicable Department of Defense (DOD) policy.

(5) Recommend milestone decisions on Acquisition Category (ACAT) ID programs and serve as the program decision authority for ACAT IC, II and III programs.

(6) Supervise the SYSCOM Commanders, PEOs and DRPMs in research, development and acquisition matters.

(7) Perform as the Senior Information Resources Management (IRM) Official. As such, ASN(RD&A) is responsible for all matters related to the acquisition of management information systems and automated data processing systems and equipment, including compliance with the Federal Information Resource Management Regulations (FIRMR).

(8) Nominate personnel to the Secretary of the Navy for selection to serve as PEOs and major Program Managers, after coordinating with the CNO or CMC. ASN(RD&A) is the reporting senior for fitness reports and annual performance evaluations for military and civilian PEOs and DRPMs. A concurrent fitness report will be submitted by the NAE on SYSCOM Commanders for assigned programs.

(9) Develop policy for and provide management oversight of the Navy's international research, development and acquisition efforts and technology transfer.

(10) Establish policy, procedures and oversight concerning competition, product integrity, procurement integrity and accountability, and the viability of the defense industrial base.

(11) Establish policy and provide oversight over those management and technical activities necessary to ensure that Integrated Logistics Support (ILS), as defined by reference (e), is established during the research, development and acquisition phases to support new systems and system upgrades to required levels of operational availability. Policy recommendations and support in executing oversight will be obtained from CNO and CMC.

(12) Assist SECNAV in providing oversight for all other logistics life cycle management activities and those logistics activities enabling combat operations to be initiated and sustained. Under the authority, direction and control of SECNAV, CNO and CMC will establish policy and management procedures for these logistics activities.

(13) Establish policy and provide oversight for acquisition workforce management and career development.

(14) Set policy for and manage Science and Technology (Research, Development, Test and Evaluation 6.1, 6.2, 6.3A). Supervise, through the Chief of Naval Research, the Office of the Chief of Naval Research.

(15) Establish and appoint membership of the Navy Contract Adjustment Board.

(16) Grant approvals and make determinations with respect to DON leases, purchases and contractual transactions, except those required to be made by other authority.

(17) Carry out other duties as assigned by SECNAV.

b. CNO and CMC shall:

(1) Serve as principal advisors to SECNAV in the allocation of resources to meet program requirements in the programming and budget processes.

(2) Coordinate the Test and Evaluation (T&E) Master Plan process. Provide principal liaison with Commander, Operational

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Test and Evaluation Forces (COMOPTEVFOR) and Director, Marine Corps Operational Test and Evaluation Activity (MCOTEA) on operational T&E requirements and execution.

(3) Identify, validate and prioritize the warfighting needs, resulting in an approved Mission Needs Statement (MNS). Determine the minimum acceptable requirements and the critical systems characteristics that must be met by an acquisition program in order to fulfill the validated needs. These are documented in the Operations Requirements Document (ORD). Manage the MNS/ORD documentation process and liaison with the JROC.

(4) Direct the efforts necessary to determine current and future requirements of the Navy and Marine Corps for manpower, material, weapons, facilities and fleet support including the determination of quantities and military performance requirements.

(5) Provide for review of Integrated Logistics Support (ILS) planning, management, resources and execution. The SYSCOMS, PEOs and DRPMs are responsible for all necessary certifications pertaining to programs under their cognizance.

(6) Provide support to ASN(RD&A) in logistics as outlined in enclosure (5).

(7) Direct the efforts necessary to ensure all aspects of in service support, except the acquisition of that support, are met to support operational tasking.

- R) c. The SYSCOM Commanders will act for and exercise the authority of the NAE to directly supervise management of assigned programs, maintaining oversight of cost, schedule, and performance, and will report directly to the ASN(RD&A) for all matters pertaining to research, development and acquisition. The SYSCOM Commanders will report to CNO and CMC respectively for the execution of their non-development, non-acquisition logistics and operating forces support responsibilities. The SYSCOMS are Echelon 2 activities reporting to CNO. The MARCORSYSCOM is an Echelon 2 activity reporting to CMC. Responsibilities unique to the individual SYSCOMS are outlined in enclosures (1), (2), (3) and (4). Common responsibilities for SYSCOMS are:

(1) Oversee the core processes required to support the acquisition, in service support and disposal of platforms. Core processes include:

(a) Integrated Logistics Support (acquisition & in service),

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- (b) Test and evaluation,
- (c) Technology development,
- (d) Manufacturing,
- (e) Systems engineering (acquisition and in service),
- (f) Installation,
- (g) Maintenance and modernization planning,
- (h) Configuration management,
- (i) Disposal, and
- (j) Comptroller, Legal, Contracting, and administrative support services.

(2) Operate and sustain the most efficient infrastructure needed to acquire, field, and support weapon systems and commodities. Formulate and defend program plans and budgets for this infrastructure. Includes maintenance of the requisite:

- (a) Science and Technology, design, engineering, industrial, and testing capabilities;
- (b) Technical and professional expertise; and
- (c) Capability to conduct independent technical reviews.

(3) Establish standard policies, technical specifications, and processes where appropriate.

(4) Rapidly and consistently incorporate advanced technology and operating and support lessons learned into the design, maintenance, modernization, and acquisition specifications that apply to platforms.

(5) Actively support integrated platform management teams with the most efficient processes and facilities possible.

(6) Exercise technical authority and life cycle management for their assigned programs.

(7) Manage acquisition programs not assigned to a PEO or DRPM.

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(8) Provide support services to designated PEOs and DRPMs as provided in the Operating Agreements.

(9) Provide support to ASN(RD&A), CNO and CMC for analysis of mission areas, systems, and requirements.

(10) Chair command-level review boards for assigned programs.

(11) Serve as Head of Contracting Activity for both assigned programs and PEO/DRPM programs.

(12) Develop plans with the PEOs and DRPMs for the transition of programs into and out of the PEO/DRPM organization. Submit plans to ASN(RD&A) for approval.

(13) Serve as Milestone Decision Authority for assigned ACAT IV programs and other programs as delegated.

(14) Act as, or provide for, Source Selection Authority for assigned programs.

(15) Provide requested program information to CNO/CMC for Program Objectives Memoranda (POM) and budget development.

R) d. PEOs and DRPMs will act for and exercise the authority of the NAE to supervise directly the management of assigned programs, maintaining oversight of cost, schedule, and performance. PEOs and DRPMs are responsible for all aspects of life cycle management for their assigned programs. PEOs and DRPMs will report directly to the CNO and CMC, through the applicable SYSCOM Commander, for matters pertaining to in service support. However, PEOs and DRPMs will report directly to the NAE for all matters pertaining to acquisition.

e. Program managers will be vested with the authority, accountability, and resources necessary to manage all aspects of the program from concept to disposal. Program Managers of platforms will lead the Integrated Platform Management Team (IPMT) in the execution of their responsibilities. Program Managers of commodities will participate on the platform IPMT as applicable as well as lead their own commodity IPMT. The Program Manager's responsibilities include:

(1) Responding to the needs of the customer.

(2) Formulating and defending program plans and budgets for the development, production, fleet introduction, and in service support of the platform.

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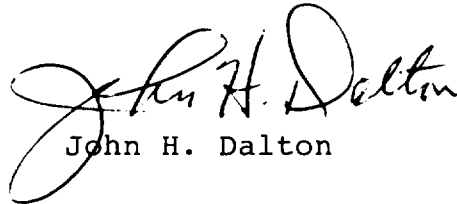
(3) Developing and implementing acquisition and in service support plans to include the rapid and consistent insertion of advanced technology across the platform.

(4) Incorporating availability, reliability, and supportability requirements into initial designs, acquisition strategies, and procurement documentation in accordance with DOD 5000 Series guidance.

(5) Obtaining approval for, and consistently implementing technical requirements changes across platforms in accordance with DOD 5000 Series guidance. These include, but are not limited to, waivers and departures from specifications.

(6) Managing the configuration of the platform.

6. Action. ASN(RD&A), CNO, CMC, and SYSCOM Commanders will ensure performance of the functions and tasks specified here by issuing and implementing directives as required and ensuring subordinate organizations are chartered appropriately. Recommended changes shall be sent to the ASN(RD&A), or to SECNAV via the ASN(RD&A).



John H. Dalton

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COMNAVAIRSYSCOM UNIQUE RESPONSIBILITIES

1. COMNAVAIRSYSCOM has management authority and accountability for all naval aviation programs with the exception of that authority and responsibility specifically assigned to a PEO or DRPM. This includes designing, developing, procuring and supporting naval aviation systems used by the Navy and Marine Corps. COMNAVAIRSYSCOM's acquisition areas of cognizance include:

- a. Aircraft
- b. Aeronautical weapons systems.
- c. Associated subsystems to include life support, propulsion and power, armament/ordnance, avionics, mission support, and aviation support equipment, and related systems and equipment including training, photographic and reconnaissance, airborne mine countermeasures, aircraft launching and recovery, and target systems.

Enclosure (1)

COMNAVSEASYSKOM UNIQUE RESPONSIBILITIES

1. COMNAVSEASYSKOM has management authority and accountability for all ship and ship system acquisition programs with the exception of that authority and responsibility specifically assigned to a PEO or DRPM. COMNAVSEASYSKOM's acquisition areas of cognizance include:

a. Ships, submarines, submersibles, and other water craft including all associated ship systems, ship combat systems, shipboard support systems, ship/aviation interface systems, and surface/submarine expendable ordnance. Service craft assigned to the Commander, Naval Facilities Engineering Command and commissioned (USS) and in-service (USNS) ships administratively assigned to the Military Sealift Command are excluded.

b. Assigned small arms, infantry equipment, body protective armor and in-shore undersea warfare equipment.

c. Special explosive ordnance disposal tools and equipment.

d. Chemical, biological, and radiological warfare defense materials and equipment.

e. Respiratory protective devices, diving methods and equipments, and submarine rescue methods and equipment.

f. Equipage for towing and salvage.

2. The responsibilities of the Director of Naval Nuclear Propulsion Program (N00N), who also serves as the Deputy Commander for Nuclear Propulsion Program (NAVSEA 08) and Deputy Assistant Secretary for Naval Reactors, Department of Energy, are set forth in Executive Order 12344 and 42 U.S.C. Section 7158 and are unaffected by this instruction.

3. COMNAVSEASYSKOM acts in the Coordination of Shipbuilding, Conversion and Repair capacity to address national mobilization planning requirements for DOD, Department of Transportation and Department of Commerce (MARAD) by agreement of DOD, DOT, and Department of Energy (DOE).

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COMSPAWARSYSCOM UNIQUE RESPONSIBILITIES

1. COMSPAWARSYSCOM has management responsibility and accountability for space systems and equipment, or components not assigned to a PEO or DRPM. COMSPAWARSYSCOM's acquisition areas of cognizance include:

- a. Command and control systems.
- b. Communications systems.
- c. Intelligence systems.
- d. Undersea surveillance systems.
- e. Space systems.
- f. Developing force level warfare systems architecture and conducting force level space and electronic warfare system engineering.
- g. Force Warfare System Engineering Board coordination among the SYSCOMS.

Enclosure (3)

COMMARCORSYSCOM UNIQUE RESPONSIBILITIES

(R)

1. COMMARCORSYSCOM will have management authority and accountability for all Marine Corps Expeditionary Forces programs with the exception of naval aviation programs and that authority and responsibility specifically assigned to a PEO or DRPM. COMMARCORSYSCOM's acquisition areas of cognizance include:

a. Marine Air-Ground Task Force (MAGTF) Command, Control, Communications and Intelligence systems and equipment.

b. Ground weapons and equipment to include infantry weapons, fire support systems and combat vehicles.

c. Combat support and combat service support equipment, to include engineer equipment, tactical vehicles, individual clothing and equipment, and Marine Corps unique NBC defense materials and equipment.

d. Training systems and equipment associated with Marine Corps unique requirements.

e. Amphibious raid and ground reconnaissance systems and equipment.

f. Ammunition items, to include procurement, surveillance and maintenance of Marine Corps weapons and associated ordnance items.

g. Technology base and advanced technology demonstration of concept and technology applicable to amphibious forces.

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CNO AND CMC LOGISTICS RESPONSIBILITIES

1. To assist ASN(RD&A) in the execution of acquisition policy with regards to logistics and other logistics oversight responsibilities, CNO (Deputy Chief of Naval Operations (Logistics)) and CMC (Deputy Chief of Staff for Installations and Logistics) will support, and in certain specific instances act for, ASN(RD&A) as follows:

a. Develop and recommend policy for the approval of ASN(RD&A) in all matters dealing with ILS during the acquisition phase.

b. Establish logistics Research & Development (R&D) requirements of the operating forces and shore establishment; develop and recommend to ASN(RD&A) a logistics R&D program to meet the requirements.

c. Represent the Department of the Navy in logistics decision, mobilization, coordination and policy groups. Provide coordinated recommendations to the ASN(RD&A) for approval in those instances when a consolidated DON position is required.

d. Exercise authority with respect to audits by outside agencies (Government Accounting Office, Inspector General, Naval Audit Service, Defense Audit Service, etc.) and legislative issues regarding logistics, reserving for the ASN(RD&A) those issues that require a consolidated DON response or otherwise require ASN(RD&A) involvement.

e. Provide staff support required to conduct other logistics responsibilities of the ASN(RD&A) as directed.

Enclosure (5)